



HAND DELIVERED  
Due By April 30, 2010

111 #101364

09 FS-1

# Rhode Island Ethics Commission

## 2009 YEARLY FINANCIAL STATEMENT

RECEIVED  
RHODE ISLAND  
ETHICS COMMISSION  
10 APR 28 PM 3:27

MICHAEL J MCCAFFREY  
115 TWIN OAK DRIVE  
WARWICK RI 02889-

ALL QUESTIONS REFER TO THE CALENDAR YEAR JANUARY 1, 2009 THROUGH DECEMBER 31, 2009  
UNLESS OTHERWISE SPECIFIED.

**PLEASE ANSWER ALL QUESTIONS AND WHERE YOUR ANSWER IS "NONE" OR "NOT APPLICABLE" SO  
STATE. ANSWERS SHOULD BE PRINTED OR TYPED,** and additional sheets may be used if more space is needed.  
For clarification of any question, read instruction sheet.

**Note:** If you are a state or municipal official or employee who is required to file a Yearly Financial Statement, a failure to file the Statement is a violation of the law and may subject you to substantial penalties, including fines. If you received a 2009 Yearly Financial Statement in the mail but believe you did not hold a public position in 2009 or 2010 that requires such filing, you should contact the Ethics Commission (See Instruction Sheet for contact information).

1. McCaffrey Michael J.  
NAME OF OFFICIAL (LAST) (FIRST) (INITIAL)

2. 115 Twin Oak Drive Warwick RI 02889  
HOME ADDRESS (STREET) (CITY/TOWN) (ZIP CODE)

MAILING ADDRESS (if different from home address)

3. List Public Position(s) you hold and governmental unit:

R.I. State Senate District 29  
(PUBLIC POSITION) (MUNICIPALITY, STATE OR REGIONAL)

(PUBLIC POSITION) (MUNICIPALITY, STATE OR REGIONAL)

I was elected on 1994 I was appointed on \_\_\_\_\_ I was hired on \_\_\_\_\_  
(date) (date) (date)

If you no longer hold a public position, state date of termination or resignation \_\_\_\_\_

4. List elected office(s) for which you were/are a candidate in either calendar year 2009 or 2010 (Read instruction #4)  
R.I. State Senate

5. List the following: NAME OF SPOUSE NAME(S) OF DEPENDENT CHILD OR CHILDREN  
Deirdre G. McCaffrey Michael F. McCaffrey  
Brenna M. McCaffrey  
Deirdre F. McCaffrey

6. List the names of any employer from which you, your spouse, or dependent child received \$1,000 or more gross income during calendar year 2009. If self-employed, list any occupation from which \$1,000 or more gross income was received. If employed by a state or municipal agency, or if self-employed and services were rendered to a state or municipal agency for an amount of income in excess of \$250, list the date and nature of services rendered. If the public position or employment listed in #3, above, provides you with an amount of gross income in excess of \$250 it must be listed here. **(Do Not List Amounts.)**

NAME OF FAMILY MEMBER EMPLOYED	NAME AND ADDRESS OF EMPLOYER OR OCCUPATION	DATES AND NATURE OF SERVICES RENDERED
Michael J. McCaffrey	McCaffrey & McCaffrey 1380 Warwick Avenue Warwick, RI 02888	Attorney at Law 1989-Present
Michael J. McCaffrey	State of Rhode Island Providence, RI 02903	State Senator 1994-Present
Deirdre G. McCaffrey	Warwick School Department 34 Warwick Lake Avenue Warwick, RI	School Nurse Teacher 1997-Present

7. List the address or legal description of any real estate, other than your principal residence, in which you, your spouse, or dependent child had a financial interest.

	NAMES	NATURE OF INTEREST	ADDRESS OR DESCRIPTION
a.	Michael J. McCaffrey	1/5 interest	King Philip Road Narragansett, RI
b.	Michael J. McCaffrey	Partnership 1/7 interest	1415 Warwick Avenue Warwick, RI
c.	Michael J. McCaffrey Deirdre G. McCaffrey	Joint	46 Sand Hill Cove Rd. Narragansett, RI

8. List the name of any trust, name and address of the trustee of any trust, from which you, your spouse, or dependent child or children individually received \$1,000 or more gross income. List assets if known. **(Do Not List Amounts.)**

NAME OF TRUST: None

NAME OF TRUSTEE AND ADDRESS: \_\_\_\_\_

NAME OF FAMILY MEMBER RECEIVING TRUST INCOME: \_\_\_\_\_

ASSETS: \_\_\_\_\_

9. List the name and address of any business organization or other entity, whether for profit or non-profit, in which you, your spouse, or dependent child held a position as a director, officer, partner, trustee, or a management position.

NAME OF FAMILY MEMBER	NAME AND ADDRESS OF BUSINESS	POSITION
Michael J. McCaffrey	McCaffrey & McCaffrey 1380 Warwick Avenue Warwick, RI 02888	Partner
Michael J. McCaffrey	Sheldon Associates 1380 Warwick Avenue Warwick, RI 02888	Partner

10. List the name and address of any interested person, or business entity, that made total gifts or total contributions in excess of \$100 in cash or property during calendar year 2009 to you, your spouse, or dependent child. Certain gifts from relatives and certain campaign contributions are excluded. (See instruction #10)

NAME OF PERSON RECEIVING  
GIFT OR CONTRIBUTION

NAME AND ADDRESS OF PERSON OR ENTITY  
MAKING GIFT OR CONTRIBUTION

Not applicable

11. List the name and address of any business in which you, your spouse, or dependent child individually or collectively holds a 10% or greater ownership interest, or a \$5,000 or greater ownership or investment interest.

NAME OF FAMILY MEMBER  
Michael J. McCaffrey

NAME AND ADDRESS OF BUSINESS  
McCaffrey & McCaffrey  
1380 Warwick Avenue  
Warwick, RI 02888  
Sheldon Associates  
1380 Warwick Avenue  
Warwick, RI 02888

Michael J. McCaffrey

SEE ATTACHED EXHIBIT A

12. If any business listed in #11, above, did business in excess of a total of \$250 in calendar year 2009 with a state or municipal agency, **AND** you are a member or employee of the agency or exercise direct or legislative control over the agency, list the following:

NAME AND ADDRESS  
OF BUSINESS  
Not applicable

NAME OF AGENCY

DATE AND NATURE  
OF TRANSACTION

13. If any business listed in #11, above, was a business entity subject to direct regulation by a state or municipal agency, **AND** you are a member or employee of the agency or exercise direct or legislative control over the agency, list the following:

Not applicable

NAME AND ADDRESS OF BUSINESS

NAME OF REGULATING AGENCY

## **EXHIBIT A**

Additional Response to Question Number Eleven:

Michael J. McCaffrey and Deirdre G. McCaffrey	Accounts with Fidelity Investments
Michael J. McCaffrey	Accounts with Fidelity Investments
Deirdre G. McCaffrey	Accounts with Smith Barney
Deirdre G. McCaffrey	Accounts with VanKemper
Michael F. McCaffrey	Accounts with Oppenheimer Funds

14. If you, your spouse, or dependent child individually or collectively acquired or divested a 10% ownership interest or a \$5,000 or greater ownership or investment interest in a business after January 1, 2010 and before the date you file this statement **AND** if said business was regulated by a state or municipal agency of which you are an employee or a member, or over which you exercise direct or legislative authority, list the following:

NAME AND ADDRESS OF BUSINESS

Not applicable

DESCRIPTION OF INTEREST (NOT AMOUNT)  
AND DATE ACQUIRED AND/OR DIVESTED

NAME OF REGULATING AGENCY

HOW REGULATED

15. If you, your spouse, or dependent child individually or collectively acquired or divested a 10% ownership interest or a \$5,000 or greater ownership or investment interest in a business after January 1, 2010 and before the date you file this statement, which did business in excess of \$250 with a state or municipal agency of which you are an employee or a member, or over which you exercise direct or legislative authority, list the following:

NAME AND ADDRESS  
OF BUSINESS

Not applicable

DESCRIPTION OF INTEREST  
DATE ACQUIRED AND/OR DIVESTED  
(DO NOT INCLUDE AMOUNT)

NAME OF STATE  
OR MUNICIPAL AGENCY

16. If you, your spouse or dependent child were indebted in an amount in excess of \$1,000 to any person, business entity or other organization other than (i) any person related to you, your spouse or dependent child at any time within the third degree of consanguinity, or (ii) a financial institution regulated by any state or by the United States where such indebtedness is secured solely by a mortgage of record on real property used exclusively as your principal residence, or (iii) any indebtedness arising from transactions involving credit cards, please list the following:

NAME AND ADDRESS OF DEBTOR

Deirdre G. McCaffrey  
Michael J. McCaffrey  
115 Twin Oak Drive  
Warwick, RI 02889

NAME AND ADDRESS OF LENDER  
Navigant Credit Union

I certify under penalty of perjury, that this Financial Statement is a complete and accurate response to the questions presented as to the financial information and interests during the year 2009 of myself, my spouse, and my dependent children. I acknowledge that I may request an advisory opinion from the Ethics Commission as to my conduct under the Code of Ethics. I understand that a copy of the Code of Ethics will be provided to me at no cost upon request by contacting the Ethics Commission.

State of Rhode Island  
County of Kent

SIGNATURE

Subscribed and sworn to before me at Warwick this 37th day of April 2010

My Commission expires: 6/18/2013

SIGNATURE OF NOTARY PUBLIC

THIS STATEMENT WILL BE RETURNED IF IT IS NOT SIGNED AND NOTARIZED AND IF ANY  
QUESTION IS NOT ANSWERED.